

PROCESS FLOW

TRACKING AND CLOSING AUDIT/REVIEW FINDINGS

Application:

- OIG Audits of DOE
- GAO Audits of DOE
- DOE Internal Audits of DOE Operations
- DOE Internal Audits of Contractors Operations

Process Flow:

- Report issued to audited/reviewed organization.
- Audit Liaison assigns resolution of findings to subject matter experts (owners) with the following:
 - Requests resolution action plan with anticipated completion date for tracking purposes;
 - Establishes periodic reporting requirement.
- Audit Liaison establishes status report for tracking system. Report is at the audit/review level and includes the following data elements:
 - Title of Report
 - Findings
 - Recommendations
 - Action Planned – for each recommendation
 - Status of Action – for each action
- Audit Liaison or assigned personnel inputs status report data into tracking system (e.g., DARTS, local systems).
- Owners report status of actions to Audit Liaison on periodic basis.
 - If owners are delinquent in resolving issues, audit liaison reports to owners' management and requests a revised action plan to expedite resolution.
- Audit Liaison updates tracking system to reflect current status.
- Owners submit closure report upon completion of planned actions.
- Audit Liaison closes audit/review upon completion of all resolution action plans.

Tracking and Closing Audit/Review Findings

